



REQUEST FOR PROPOSALS Consultant Contract

Project Title:
Comprehensive Universal Preschool Parent/Guardian Survey
Procurement Schedule

Schedule of Events	Date/Time	Where
Solicitation Release	January 6, 2014	a. Daily Journal of Commerce b. City of Seattle Consultant Opportunities website page: http://www.seattle.gov/contracting/default.htm c. Office for Education website page: http://www.seattle.gov/education
Pre-Submittal Conference	January 9, 2014 2:00 – 4:00 PM Call-in Phone Number: 206-615-1200	Seattle Municipal Tower 700 5 th Ave, Suite 4050/60 Seattle, WA 98104 Map It If you would like to refer to hard copy, please bring a copy of this RFP to the Pre-Submittal Conference.
Questions Deadline	January 15, 2014, 5:00 PM	Email all questions to upk@seattle.gov
Response Deadline	January 21, 2014, 4:30 PM	Submission instructions included in Section 7.9, pg. 9.
RFP Interviews	January 30-31, 2014	Office for Education Map It Department of Neighborhoods 700 5 th Ave, Suite 1700 (17 th Floor) Seattle, WA 98104
Announcement of Successful Consultant(s)	January 31, 2014	
Anticipated Contract Negotiation Schedule/ Contract Execution	First week of February 2014	

*The City reserves the right to modify this schedule.
Changes will be posted on the City's Consultant Opportunities and
Office for Education websites noted above.*

Procurement Contact

Project Manager:

Erica Johnson, upk@seattle.gov, (206) 684-8478

Unless authorized by the Project Manager, no other City official or employee may speak for the City regarding this solicitation until award is complete. Any Consultant contacting other City officials or employees does so at Consultant's own risk. The City is not bound by such information.

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1. Purpose and Background

On September 23, 2013, the Seattle City Council unanimously passed the “Preschool for All” Resolution (Resolution 31478), which established the City Council's goal of making voluntary, high-quality preschool available and affordable to all three- and four-year-old Seattle children. Further, the Resolution charged the City’s Office for Education (OFE) with the development of an Action Plan to achieve this goal.

Toward that end, the Resolution charged OFE to elicit “*input from parents/guardians*” through “*surveys of parents/guardians.*” The stipulated purpose of the survey is to discover respondents’ “*reasons their children do or do not attend preschool*” and “*how many of those whose children do not currently attend preschool would likely enroll their children if high-quality preschool were available and affordable.*”

The City of Seattle plans to contract with a Consultant to develop and administer a Seattle parent/guardian survey. The survey, at a minimum, will address: (a) respondents’ perspectives on their current preschool options and choices, (b) what they consider to be “high quality,” and (c) what they think of the city’s Preschool for All program, in addition to demographic data needed to ensure the representativeness of the survey sample and produce reliable disaggregated results.

2. Performance Schedule

The work for this contract will be from February 2014 to mid-March 2014. Deliverables include:

Item	Anticipated 2014 Due Dates*
Draft of Parent/Guardian Survey Instrument	February 10
City Feedback on Survey Instrument	February 12
Testing and Final Survey Instrument	February 14
Draft Survey Report	February 28
City Feedback on Draft Survey Report	March 3-5
Data and Final Survey Report	March 7
Question and Answer Session with Consultant	March 7 or 10

*Specific due dates will be negotiated with the successful bidder prior to contract execution.

3. Solicitation Objectives

The City expects to achieve the following outcome through this consultant solicitation:

- The City seeks an experienced Consultant or team to design, administer, and report the results of a survey instrument that will elicit the perspectives of parents/guardians in Seattle on their child[ren]’s preschool attendance and their interest in high-quality, affordable preschool, as outlined in Resolution 31478, adopted by the City Council in September 2013.

4. Minimum Qualifications

Minimum qualifications are required for a Consultant to be eligible to submit an RFP response. Your submittal response must show compliance to these minimum qualifications. Those that are not responsive to these qualifications shall be rejected by the City without further consideration:

1. Consultant must have successfully completed at least one contract to conduct a survey for a public or private agency with a clientele base of size equal to or larger than the city of Seattle’s.
2. Consultant must have at least five years’ experience in survey design and administration.

5. Desired Qualifications

1. Consultant (or sub-consultant) has expertise working on a project of similar size, scope, and budget.
2. Consultant (or sub-consultant) should have experience administering surveys both over the phone and in person while retaining validity and reliability.
3. Consultant (or sub-consultant) should have experience translating survey instruments, conducting surveys with families from diverse backgrounds (especially refugee and immigrant groups), and administering surveys in multiple languages while retaining validity and reliability.
4. Consultant (or sub-consultant) should demonstrate knowledge of early childhood education and preschool quality variables.

6. Scope of Work

A. Sample

The target sample for this survey is parents/guardians (hereafter referred to as “respondents”) residing within the Seattle city limits. We are seeking survey respondents in three categories: parents/guardians with children who (1) are currently in elementary school (kindergarten through age 8), (2) are currently preschool aged (age 3-5), or (3) may attend preschool in the future (expecting – age 2). We see these past/present/future respondents as responding to questions tailored to their child’s age/status in relation to preschool.

B. The Survey Instrument

The survey should have four sections: (1) *Current Preschool Enrollment Status*, (2) *Perceptions of Preschool Quality Variables*, and (3) *Knowledge of and Interest in City-Subsidized, High-Quality Preschool*, all designed to gather information regarding respondents’ attitudes, expectations, and needs in relation to the City’s Preschool for All Plan. The final section, (4) *Demographics*, should be included to ensure the representativeness of the sample. Including respondents at all income levels is crucial since all families will contribute to the ultimate success of this endeavor.

1. *Current Preschool Enrollment Status*:
 - a. If the respondent’s child has attended, is attending, or intends to attend preschool
 - b. The structure (full or part day, how many hours per day) and perceived quality of the preschool program attended
 - c. The cost of attendance, whether attendance is or was subsidized (in whole or part) for the child, and the source of subsidization
 - d. The factors that influence enrollment, including supports and barriers (e.g., availability, cost, employment status, transportation, perceived quality, access to culturally responsive programming, etc.)
2. *Perceptions of Preschool Quality Measures*: Using the framework provided by Resolution 31478, the survey will gather data regarding:
 - a. The respondents’ perceptions of how the following variables are related to program quality, the minimum threshold respondents would expect in a high-quality program,¹ and relative importance of:

¹ The survey questions should be designed to ascertain the minimum level respondents would assume to be “high quality” in each category. For example, B2ai could be phrased as follows: “Would you consider a preschool teacher who has completed high school (only) to be high quality?” If the answer respondent were to say “no,” the questions along this line of inquiry would continue: “Would you consider a preschool teacher who has completed a certificate program focused in Child

- i. Teacher qualifications (years of experience, degrees, certifications, training)
 - ii. Number of hours per day and days per week children attend
 - iii. The type of delivery (center-based, home or family-based)
 - iv. Culturally and linguistically responsive instruction
 - v. The racial, ethnic, and linguistic diversity of teachers and students
 - vi. The preschool's emphasis on facilitating productive links between home and school
- b. The role of high-quality preschool programs in preparing children for kindergarten.
- c. Whether and how a city or state quality ranking would influence respondents' perceptions of preschool quality.
- d. If the State had a preschool quality rating system that assigned preschools a level between 1 and 5, what level would the respondent require a preschool to have before they would be willing to send their child to it? For this question, it should be explained that:
 - i. Level 1 indicates that a preschool is either licensed by State or certified by another group,
 - ii. Level 2 indicates that a preschool is licensed or certified, the staff members have registered with the State, completed self-assessments, and registered for additional training if required,
 - iii. Level 3 indicates that a preschool has met all of the requirements of Level 2 and State assessors have visited the preschool and found that it meets minimum expectations in the areas of Child Outcomes, Learning Environment, Professional Training, and Family Partnerships,
 - iv. Levels 4 and 5 indicate that a preschool has met all of the requirements of Level 3 and has exceeded minimum expectations in the areas of Child Outcomes, Learning Environment, Professional Training, and Family Partnerships.
- e. If a City- or State-sponsored preschool quality rating scale should include programs that do not meet the respondents' minimum threshold of quality.

3. *Knowledge of and Interest in City-Subsidized, High-Quality Preschool:*

- a. Respondents' knowledge of current preschool options supported by the City.
- b. Respondents' knowledge of the City's plan to make affordable, high-quality preschool available to all children in the future.
- c. The respondents' interest in enrolling their child in affordable, high-quality, City-subsidized preschool program if it had been available at the time their child was preschool-aged, were available today, or were to become available when their child is eligible for preschool.
- d. Whether and how each of the following factors would influence their participation:
 - i. City or State quality ranking
 - ii. The availability of culturally and linguistically responsive instruction

Development to be high quality?" And so on. Once a "yes" response is received, the second part of the question should ask respondents how important teacher qualifications are to them on a scale of 1 to 5, with 5 being very important and 1 being not important at all. A similar question/response style is recommended for all *Perceptions of Preschool Quality Measures*. In areas where a continuum is not apparent (e.g., type of delivery), a question should be asked regarding the respondent's preference for their own child (e.g., "Would you prefer to enroll your child in a preschool based in a childcare center or based in a home?") and followed with a question regarding the relative importance of this factor ("How important is this to you on a scale of 1 to 5?").

- iii. Distance from home/work
- iv. Out-of-pocket cost
- v. Availability of transportation
- vi. Instructional format
- vii. Funding methods (direct to preschool vs. parent voucher)
- viii. The availability of extended day (before- and after-school) programs
- ix. Personal preference or beliefs/values

4. *Demographics:*

- a. Geographic location
- b. Number and age of children
- c. Socioeconomic status (household income level) and household size
- d. Whether any school-aged children qualify for free or reduced-price school lunch
- e. Immigrant and/or refugee status
- f. Primary language spoken in home
- g. Family home structure (e.g., single-parent or two-parent home, cohabitating with extended family, child splitting time between two homes)
- h. Race and ethnicity

These lists are provided for guidance only and are not meant to be exhaustive or to provide prescriptive language for use in the survey.

C. Testing of the Survey Instrument and Administration of the Survey

OFE anticipates that at least two methods for obtaining responses will be necessary—administration by phone and in person. Phone administration of the survey may not utilize any prerecorded messages (i.e., respondents should only interact with real people). In-person interviews should be conducted for hard-to-reach populations. “Hard-to-reach” groups may include immigrant and refugee respondents, non-English speaking respondents, respondents from cultures where answering survey questions by telephone is not common or easily arranged, and low-income families. In addition to administering the survey in English, the Consultant is expected to provide a representative sample of Seattle’s predominant linguistic populations (specifically, respondents whose primary languages are Cantonese, Mandarin, Somali, Spanish, Tagalog, and Vietnamese).

D. Tasks and Deliverables

Approximate due dates for the tasks and deliverables noted below are included in Section 2, Performance Schedule.

- 1. A draft of the survey instrument
- 2. The final survey instrument
- 3. A draft of the Final Survey Report. At a minimum, the Final Survey Report should include three sections:
 - a. A methods section, detailing data collection, sampling techniques, and any concerns or unforeseen issues that arose during collection
 - b. A demographic breakdown of the respondents, and
 - c. Key findings and results (including tables, figures, and all crosstabs)

4. The Final Survey Report. OFE requests that survey results be delivered in three formats:
 - a. An electronically delivered Excel spreadsheet containing all data. A user-friendly codebook must accompany these data.
 - b. An electronically delivered Final Report in Microsoft Word
 - c. An electronically delivered Final Report in Adobe PDF
5. A two-hour question and answer session for City stakeholders and the Preschool for All consultants will be scheduled immediately following receipt of the Final Report.


7. Response Materials and Submittal

Prepare your response as follows. Use the following format and provide all attachments. Failure to provide all information below on proper forms (and in order requested) may cause the City to reject your response.

7.1 Letter of interest (optional).

The following items are mandatory:

- 7.2 **Legal Name:** Submit a certificate, copy of web-page, or documentation from the Secretary of State in which you incorporated that shows your company's legal name. Many companies use a "Doing Business As" name or nickname in daily business; the City requires the legal name for your company. When preparing all forms below, use the proper company legal name. Your company's legal name can be verified through the State Corporation Commission in the state in which you were established, which is often located within the Secretary of State's Office for each state. For the State of Washington, see <http://www.secstate.wa.gov/corps/>
- 7.3 **Minimum Qualifications:** Provide a response limited to one (1) page that lists each minimum qualification, and exactly how you achieve each minimum qualification listed on page 3. Remember that the determination you have achieved all the minimum qualifications is made from this page. The Project Manager is not obligated to check references or search other materials to make this decision.
- 7.4 **Consultant Questionnaire:** Submit the following in your response, even if you sent one in to the City for previous solicitations.



Consultant
Questionnaire 5-8-13 l
- 7.5 **Proposal Response:** This document details the forms, documents and format for your proposal response to the City. In addition to the required documents 7.2, 7.3, and 7.4 above, please provide the following information for your proposal response. Please limit your proposal response to eight (8) double-sided pages and follow the Response Submission Instructions listed in Section 7.9.

A. Desired Qualifications (1 page single-sided maximum):

1. Please detail how you relate to each of the desired qualifications listed in Section 5 – Desired Qualifications. Be specific about which qualifications you meet and which you will work with partners or subcontractors to achieve.

B. Sample:

1. How will the Consultant ensure that the survey respondents constitute a representative sample of Seattle's parents/guardians?
2. How will the Consultant ensure the sample is representative of Seattle's socioeconomic, cultural, and linguistic diversity (i.e., "hard-to-reach" populations)?
3. How will the Consultant incorporate input from respondents with children in the three enrollment categories noted in Section 6a?

C. The Survey Instrument. Describe your approach for addressing each of the four survey components described in Section 6:

1. Current Preschool Enrollment Status
2. Perceptions of Preschool Quality Measures
3. Knowledge of and Interest in City-Subsidized, High-Quality Preschool
4. Demographics

D. Testing of the Survey Instrument and Administration of the Survey:

1. Provide a detailed plan for administration of the survey both via telephone and in person to "hard-to-reach" populations
2. Provide a detailed plan for data compatibility:
 - a. Ensuring compatibility of data gathered from respondents with children in each of the three target age categories
 - b. Translating the survey into Cantonese, Mandarin, Somali, Spanish, Tagalog, and Vietnamese and ensuring the data gathered through various methods (telephone and in person, in seven languages, including English) are fully amenable to integration with the larger dataset
3. Provide a detailed plan for vetting and testing the survey instrument:
 - a. Vetting the approved survey instrument with respondent focus groups
 - b. Testing the survey instrument with both telephone and in person respondents, in all of the aforementioned target languages
4. Please justify each plan (D1-3) in terms of how it contributes to the validity and reliability of survey results.

- 7.6 **Cost Proposal.** (See embedded document below.) Please fill out and submit the attached Cost Proposal. The cost for this work is approximately \$100,000.



Cost Proposal.xlsx

- 7.7 **Prior Work Samples.** Please provide at least one sample of (or link to) a project of similar scope.

- 7.8 **List of Professional References.** Please provide at least three references that can speak to your experience doing work similar to this proposal.

7.9 Response Submission.

Package Checklist:

Your response should be packaged with each of the following. This list assists with quality control before submittal of your final package. Addenda may change this list; check for any final instructions:

1. Letter of Interest (optional)
2. Proof of Legal Name
3. Minimum Qualifications
4. Consultant Questionnaire (see embedded form)
5. Proposal Response (see Proposal Response Section, above)
6. Cost Proposal (see embedded form)
7. Prior Work Samples
8. List of Professional References

Responses are due and ***must be received by January 21, 2014*** at 4:30 p.m. Please mail or hand-deliver **six (6) paper copies** of your RFP. You must also send the files electronically (see below for email instructions).

Responses to each of the narrative sections above must follow the page limits identified in the instructions for each package item, where applicable. All narrative responses must be on 8½" x 11" paper, typed or word-processed, minimum size 11 font, with 1-inch margins, double-sided, page-numbered, and stapled with the other attachments. Responses should not be sent with covers, binders, or computer disks.

Send hard copies:

By US mail: Office for Education
RFP – UPK Survey
PO Box 94649
Seattle, WA 98124-4649

Hand-deliver [Map It](#)
or FedEx/UPS: Office for Education
RFP – UPK Survey
Department of Neighborhoods
Seattle Municipal Tower
700 5th Avenue, Suite 1700
Seattle, WA 98104

Send Electronic copy to: upk@seattle.gov

- You will submit files only in MS Word or Adobe PDF or MS Excel. The 8-page maximum Proposal Response items should be submitted as one file. The Cost Proposal should be submitted in Excel.
- Please use the following naming convention for the electronic files:

[ConsultantName]_UPK_Survey_RFP_Item#_Item

For example: *StarConsulting_UPK_RFP_1_Letter of Interest*

- Use this format for your email Subject Heading:
[ConsultantName]_UPK_Survey_RFP

8. Selection Process

Submittal Questions: upk@seattle.gov or 206-684-8478

8.1 Initial Screening: The City will review the Proof of Legal Name, Minimum Qualification Sheet, and Consultant Questionnaire responses for responsiveness and responsibility. Those found responsive and responsible based on an initial screening shall proceed to Step 2: Evaluating the Proposal Response, Cost Proposal, Prior Work Samples, and List of Professional References.

8.2 Proposal Evaluation: The City will evaluate proposals using the criteria below. Responses will be evaluated, scored, and ranked.

Evaluation Criteria:

Proposal Section Number	Evaluation Criteria	Scoring (Points)
7.5.A: Desired Qualifications	<ul style="list-style-type: none"> Proposal responds to criteria specified in desired qualifications 	10
7.5.B: Sample	<ul style="list-style-type: none"> Proposal's plan for producing a representative sample of Seattle parent/guardian population is satisfactory Proposal satisfactorily specifies how the Consultant will reach "hard-to-reach" respondents Proposal satisfactorily addresses how the three enrollment categories will be managed 	20
7.5.C: The Survey Instrument	Proposal satisfactorily addresses and provides a detailed plan for each of the four sections: <ul style="list-style-type: none"> Current Preschool Enrollment Status Perceptions of Preschool Quality Variables Knowledge of and Interest in City-subsidized, high-quality Preschool Demographics 	20
7.5.D: Testing and Administration	Quality of Proposal's: <ul style="list-style-type: none"> Plan for telephone and in-person administration of the survey Plan for ensuring data compatibility Plan for vetting and testing of instrument Justification for each plan in terms of validity and reliability 	20
7.6: Cost Proposal	<ul style="list-style-type: none"> Proposal includes itemized costs for all deliverables Costs appear to be reasonable and within the Scope of Work Proposal clearly describes costs 	20
7.7: Prior Work Samples	<ul style="list-style-type: none"> Prior work samples (or links) of similar scope and size are included and satisfactory 	10
7.8: List of Professional References	<ul style="list-style-type: none"> Proposal provides a list of at least three professional references 	Meets/Does Not Meet
TOTAL		100

8.3 Interviews: The City may interview top ranked firms that are most competitive. If interviews are conducted, rankings of firms shall be determined by the City, using the combined results of interviews and proposal submittals. Consultants invited to interview are to bring the assigned Project Manager named by the Consultant in the Proposal, and may bring other key personnel named in the Proposal. The Consultant shall not bring individuals who do not work for the Consultant or are on the project team without advance authorization by the City Project Manager.

- 8.4 References:** The City may contact one or more references. The City may use references named or not named by the Consultant.
- 8.5 Selection:** The City shall select the highest ranked Consultant(s) for award including the interview (if applicable) and written proposal.
- 8.6 Contract Negotiations.** The City may negotiate elements of the proposal as required to best meet the needs of the City, with the apparent successful Consultant. The City may negotiate any aspect of the proposal or the solicitation. The City does not intend to negotiate the base contract, which has been attached (see [Attachments](#)).
- 8.7 Repeat of Evaluation:** If no Consultant is selected at the conclusion of all the steps, the City may return to any step in the process to repeat the evaluation with those proposals active at that step. The City shall then sequentially step through all remaining steps as if conducting a new evaluation process. The City reserves the right to terminate the process if no proposals meet its requirements.

9. Award and Contract Execution

The Project Manager will provide timely notice of intent to award to all Consultants responding to the Solicitation.

9.1 Protests to Project Manager.

Interested parties that wish to protest any aspect of this RFP selection process provide written notice to the City Project Manager for this solicitation. Note the City shall notify Federal Transit Administration if protesting a solicitation for contracts with FTA funds.

9.2 Protests – City Purchasing and Contracting Services.

The City has rules to govern the rights and obligations of interested parties that desire to submit a complaint or protest to this process. Please see the City website at <http://www.seattle.gov/contracting>. Interested parties have the obligation to know of and understand these rules, and to seek clarification from the City. Note there are time limits on protests, and submitters have final responsibility to learn of results in sufficient time for such protests to be filed in a timely manner.

9.3 Debriefs.

For a debrief, contact the City Project Manager.

9.4 Instructions to the Apparently Successful Consultant(s).

The Apparently Successful Consultant(s) will receive an Intent to Award Letter from the Project Manager after award decisions are made by the City. The Letter will include instructions for final submittals due prior to execution of the contract.

Once the City has finalized and issued the contract for signature, the Consultant must execute the contract and provide all requested documents within 10 business days. This includes attaining a Seattle Business License, payment of associated taxes due, and providing proof of insurance. If the Consultant fails to execute the contract with all documents within the 10-day time frame, the City may cancel the award and proceed to the next ranked Consultant, or cancel or reissue this solicitation. Cancellation of an award for failure to execute the Contract as attached may disqualify the firm from future solicitations for this same work.

9.5 Checklist of Final Submittals Prior to Award.

The Consultant(s) should anticipate that the Letter will require at least the following. Consultants are encouraged to prepare these documents when possible, to eliminate risks of late compliance.

- Seattle Business License is current and all taxes due have been paid.
- State of Washington Business License.
- Certificate of Insurance (if required)
- Special Licenses (if any)

9.6 Taxpayer Identification Number and W-9.

Unless the Consultant has already submitted a Taxpayer Identification Number and Certification Request Form (W-9) to the City, the Consultant must execute and submit this form prior to the contract execution date.



W9 2013.pdf

10. Contract Modifications

The City consultant contract is attached (See Section 12: [Attachments](#)).

Consultants submit proposals understanding all Contract terms and conditions are mandatory. Response submittal is agreement to the contract without exception. The City reserves the right to negotiate changes to submitted proposals and to change the City's otherwise mandatory contract form during negotiations. If the Consultant is awarded a contract and refuses to sign the attached contract form, the City may reject the Consultant from this and future solicitations for the same work. Under no circumstances shall Consultant submit its own boilerplate of terms and conditions.

11. Procedures and Requirements

This section details City instructions and requirements for your submittal. The City reserves the right in its sole discretion to reject any Consultant response that fails to comply with the instructions.

11.1 Registration into City Registration System.

If you have not previously done so, register at: <http://www2.seattle.gov/ConsultantRegistration/>. The City expects all firms to register. Women- and minority- owned firms are asked to self-identify. For assistance, call 206-684-0444.

11.2 Pre-Submittal Conference.

The City offers an optional pre-submittal conference at the time and date on page 1. Consultants are highly encouraged to attend but it is not required. The conference answers questions about the solicitation and clarifies issues. This also allows Consultants to raise concerns. Failure to raise concerns over any issues during this opportunity will be a consideration if any protest is filed regarding such items known as of this pre-proposal conference. If you attend the conference, please bring a copy of this RFP with you. Consultants from out of the area who need to call in to this pre-proposal conference should notify the City by sending an email to upk@seattle.gov. The call-in number is on page 1 and on our website.

11.3 Questions.

Consultants may submit written questions to upk@seattle.gov until the deadline stated on page 1. The City prefers questions be through e-mail to the City Project Manager. Failure to request clarification of any inadequacy, omission, or conflict will not relieve the Consultant of responsibilities under in any subsequent contract. It is the responsibility of the interested Consultant to assure they receive responses to questions if any are issued.

11.4 Changes to the RFP/Addenda.

A change may be made by the City if, in the sole judgment of the City, the change will not compromise the City's objectives in this acquisition. A change to this RFP will be made by formal written addendum issued by the City's Project Manager. Addenda shall become part of this RFP and included as part of the contract.

11.5 Receiving Addenda and/or Question and Answers.

It is the obligation and responsibility of the Consultant to learn of addendums, responses, or notices issued by the City. Some third-party services independently post City of Seattle solicitations on their websites. The City does not guarantee that such services have accurately provided all the information published by the City.

All submittals sent to the City may be considered compliant to all Addendums, with or without specific confirmation from the Consultant that the Addendum was received and incorporated, at the sole discretion of the Project Manager. The Project Manager may reject the submittal if it does not fully incorporate an Addendum.

11.6 Proposal Submittal.

- a. Proposals must be received into the City no later than the date and time on page 1 except as revised by Addenda. The submitter has full responsibility to ensure the response arrives at the City within the deadline. A response delivered after the deadline may be rejected unless waived as immaterial by the City given specific fact-based circumstances.
- b. All pages are to be numbered sequentially, and closely follow the requested formats.
- c. The City has page limits specified in the submittal instructions section. Any pages that exceed the page limit will be excised from the document for purposes of evaluation.

Hard Copy Submittal.

- The City will not accept fax and CD copies as an alternative to the paper or electronic e-mail copy submittal. If a CD or fax version is delivered to the City, the paper or electronic e-mail copy will be the only official version accepted by the City. Delivery is to the location specified on page 1.
- Hard-copy responses should be in a sealed box or envelope marked and addressed with the format specified in Item 7.9. If submittals are not marked, the Consultant has risks of the response being misplaced and not properly delivered.
- The Submittal may be hand-delivered or otherwise be received by the Program Administrator at the address provided, by the submittal deadline. Delivery errors will result without careful attention to the proper address.
- Please do not use plastic or vinyl binders or folders. The City prefers simple, stapled paper copies.

Electronic Submittal.

Please email submittal documents to upk@seattle.gov by the deadline listed on Page 1 or as otherwise amended.

- Title the e-mail as indicated in Item 7.9 so it won't be lost in an e-mail stream.
- Any risks associated are borne by the Consultant.
- The City e-mail system will allow documents up to 20 Megabytes.

11.7 License and Business Tax Requirements.

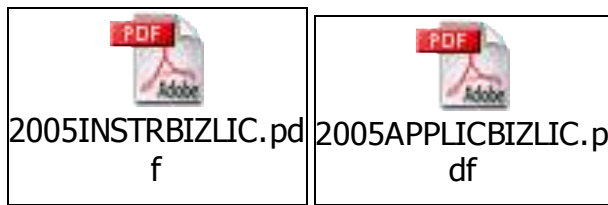
The Consultant must meet all applicable licensing requirements immediately after contract award or the City may reject the Consultant. Companies must license, report and pay revenue taxes for the Washington State Business License (UBI#) and Seattle Business License, if required by law. Carefully consider those costs before submitting an offer, as the City will not separately pay or reimburse such costs.

Seattle Business Licensing and associated taxes.

- a. If you have a "physical nexus" in the city, you must obtain a Seattle Business license and pay all taxes due before the Contract can be signed.
- b. A "physical nexus" means you have physical presence, such as: a building/facility in Seattle, you make sales trips into Seattle, your own company drives into Seattle for product deliveries, and/or

you conduct service work in Seattle (repair, installation, service, maintenance work, on-site consulting, etc.).

- c. We provide a Consultant Questionnaire Form in our submittal package items later in this RFP, and it will ask you to specify if you have “physical nexus.”
- d. All costs for any licenses, permits and Seattle Business License taxes owed shall be borne by the Consultant and not charged separately to the City.
- e. The apparent successful Consultant(s) must immediately obtain the license and ensure all City taxes are current, unless exempted by City Code due to reasons such as no physical nexus. Failure to do so will cause rejection of the submittal.
- f. Self-Filing: You can pay your license and taxes on-line using a credit card
<https://dea.seattle.gov/self/>
- g. For questions and assistance, call the Revenue and Consumer Protection (RCP) office which issues business licenses and enforces licensing requirements. The general e-mail is rca@seattle.gov. The main phone is 206-684-8484.
- h. The licensing website is <http://www.seattle.gov/rca/taxes/taxmain.htm>.
- i. The City of Seattle website allows you to apply and pay on-line with a credit card if you choose.
- j. If a business has extraordinary balances due on their account that would cause undue hardship to the business, the business can contact the RCA office (see contacts above in #7) to request additional assistance. A cover sheet providing further explanation, with the application and instructions for a Seattle Business License, is provided below.
- k. Those holding a City of Seattle Business License may be required to report and pay revenue taxes to the City. Such costs should be carefully considered by the Consultant prior to submitting your offer. When allowed by City ordinance, the City will have the right to retain amounts due at the conclusion of a contract by withholding from final invoice payments.



State Business Licensing. Before the contract is signed, you must have a State of Washington business license (a “Unified Business Identifier” known as a UBI #). If the State of Washington has exempted your business from State licensing (some foreign companies are exempt and sometimes, the State waives licensing because the company has no physical presence in the State), then submit proof of that exemption to the City. All costs for any licenses, permits, and associated tax payments due to the State because of licensing shall be borne by the Consultant and not charged separately to the City. Instructions and applications are at <http://bls.dor.wa.gov/file.aspx> and the State of Washington Department of Revenue is available at 1-800-647-7706.

Federal Excise Tax. The City is exempt from Federal Excise Tax (Certificate of Registry #9173 0099K exempts the City).

11.8 Consultant Responsibility to Provide Full Response.

It is the Consultant’s responsibility to respond that does not require interpretation or clarification by the City. The Consultant is to provide all requested materials, forms and information. The Consultant is to ensure the materials submitted properly and accurately reflects the Consultant’s offering. During scoring and evaluation (prior to interviews if any), the City will rely upon the submitted materials and shall not accept materials from the Consultant after the RFP deadline; this does not limit the City’s right to consider additional information (such as references that are not provided by the Consultant but are known to the City, or past City experience with the consultant), or to seek clarifications as needed.

11.9 No Guaranteed Utilization.

The City does not guarantee utilization of this contract. The solicitation may provide estimates of utilization; such information is for Consultant convenience and not a usage guarantee. The City reserves the right to multiple or partial awards, and/or to order work based on City needs. The City may turn to other appropriate contract sources or supplemental contracts, to obtain these same or similar services. The City may re-solicit for new additions to the Consultant pool. Use of such supplemental contracts does not limit the right of the City to terminate existing contracts for convenience or cause.

11.10 Expansion Clause.

The contract limits expansion of scope and new work not expressly provided for within the RFP.

Expansion for New Work (work not specified within the original Scope of Work Section of this Agreement, and/or not specified in the original RFP as intended work for the Agreement) must comply with the following: (a) New Work is not reasonable to solicit separately; (b) is for reasonable purpose; (c) was not reasonably known by the City or Consultant at time of solicitation or was mentioned as a possibility in the solicitation (e.g., future phases of work, or a change in law); (d) is not significant enough to be regarded as an independent body of work; (e) would not attract a different field of competition; and (f) does not vary the identity or purpose of the Agreement. The City may make exceptions for immaterial changes, emergency or sole source conditions, or other situations required in City opinion. Certain changes are not subject to these limitations, such as additional phases of Work anticipated during solicitation, time extensions, and Work Orders issued on an On-Call contract. Expansion must be mutually agreed and issued by the City through written Addenda. New Work performed before an authorizing Amendment may not be eligible for payment.

11.11 Right to Award to next ranked Consultant.

If a contract is executed resulting from this solicitation and is terminated within 90-days, the City may return to the solicitation process to award to the next highest ranked responsive Consultant by mutual agreement with such Consultant. New awards thereafter are also extended this right.

11.12 Negotiations.

The City may open discussions with the apparent successful Consultant, to negotiate costs and modifications to align the proposal or contract to meet City needs within the scope sought by the solicitation.

11.13 Effective Dates of Offer.

Solicitation responses are valid until the City completes award. Should any Consultant object to this condition, the Consultant must object prior to the Q&A deadline on page 1.

11.14 Cost of Preparing Proposals.

The City is not liable for costs incurred by the Consultant to prepare, submit and present proposals, interviews and/or demonstrations.

11.15 Readability.

The City's ability to evaluate proposals is influenced by the organization, detail, comprehensive material and readable format of the response.

11.16 Changes or Corrections to Proposal Submittal.

Prior to the submittal due date, a Consultant may change its proposal, if initialed and dated by the Consultant. No changes are allowed after the closing date and time.

11.17 Errors in Proposals.

Consultants are responsible for errors and omissions in their proposals. No error or omission shall diminish the Consultant's obligations to the City.

11.18 Withdrawal of Proposal.

A submittal may be withdrawn by written request of the submitter.

11.19 Rejection of Proposals.

The City may reject any or all proposals with no penalty. The City may waive immaterial defects and minor irregularities in any submitted proposal.

11.20 Incorporation of RFP and Proposal in Contract.

This RFP and Consultant's response, including promises, warranties, commitments, and representations made in the successful proposal once accepted by the City, are binding and incorporated by reference in the City's contract with the Consultant.

11.21 Independent Contractor.

The Consultant works as an independent contractor. The City will provide appropriate contract management, but that does not constitute a supervisory relationship to the consultant. Consultant workers are prohibited from supervising City employees or from direct supervision by a City employee. Prohibited supervision tasks include conducting a City of Seattle Employee Performance Evaluation, preparing and/or approving a City of Seattle timesheet, administering employee discipline, and similar supervisory actions.

Contract workers shall not be given City office space unless expressly provided for below, and in no case shall such space be provided for over 36 months without specific authorization from the City Project Manager.

The City will not provide space in City offices for performance of this work. Consultants will perform most work from their own office space or the field.

11.22 Equal Benefits.

Seattle Municipal Code Chapter 20.45 (SMC 20.45) requires consideration of whether Consultants provide health and benefits that are the same or equivalent to the domestic partners of employees as to spouses of employees, and of their dependents and family members. The Consultant Questionnaire requested in the Submittal instructions includes materials to designate your equal benefits status.

11.23 Women and Minority Subcontracting.

The Mayor's Executive Order and City ordinance require the maximum practicable opportunity for successful participation of minority and women-owned subcontracts. All Consultants must agree to SMC Chapter 20.42, and seek meaningful subcontracting opportunities with WMBE firms. The City requires a plan for including minority- and women-owned firms, which becomes a material part of the contract. The Plan must be responsive in the opinion of the City, which means a meaningful and successful search and commitments to include WMBE firms for subcontracting work. The City reserves the right to improve the Plan with the winning Consultant before contract execution. Consultants should use selection methods and strategies sufficiently effective for successful WMBE participation. At City request, Consultants must furnish evidence such as copies of agreements with WMBE subcontractors either before contract execution or during contract performance. The winning Consultant must request written approval for changes to the Inclusion Plan once it is agreed upon. This includes changes to goals, subconsultant awards and efforts.

11.24 Insurance Requirements.

Any special insurance requirements are provided as an Attachment. If attached, provide proof of insurance to the City before Contract execution. The City will remind the apparent successful Consultant in the Intent to Award letter. The apparent successful Consultant must promptly provide proof of insurance to the City Project Manager.

Consultants are encouraged to immediately contact their Broker to begin preparation of the required insurance documents, if the Consultant is selected as a finalist. Consultants may elect to provide the requested insurance documents within their Proposal.

11.25 Proprietary and Confidential Material.

Under Washington State Law (reference RCW Chapter 42.56, the *Public Records Act*) all materials received or created by the City of Seattle are **public records**. These records include but are not limited to bid or

proposal submittals, agreement documents, contract work product, or other bid material. Some records or portions of records are legally *exempt from disclosure* and can be redacted or withheld. The Public Records Act (RCW 42.56 and RCW 19.10)8 describes those exemptions. Consultants must familiarize themselves with the Washington State Public Records Act (PRA) and the City of Seattle’s process for managing records.

The City will try to redact anything that seems obvious in the City opinion for redaction. For example, the City will black out (redact) Social Security Numbers, federal tax identifiers, and financial account numbers before records are made viewable by the public. However, this does not replace your own obligations to identify any materials you wish to have redacted or protected, and that you think are so under the Public Records Act (PRA).

Protecting your Materials from Disclosure (Protected, Confidential, or Proprietary)

You must determine and declare any materials you want exempted (redacted), and that you also believe are eligible for redaction. This includes but is not limited to your bid submissions, contract materials and work products Consultants must familiarize themselves with the Washington State Public Records Act (PRA) and the City of Seattle’s process for managing records.

How to Identify Materials You Consider Exempt from Disclosure

Proposal Submittals

If you wish to assert exemptions in the materials in your proposal related to its proprietary nature per RCW 42.56.270, you must clearly identify your exemption request in the Vendor Questionnaire in the Non-Disclosure Request Section.

Contract Work Products

If you wish to assert exemptions for your contract work products you must clearly and specifically notify the City Project Manager at the time such records are generated.

Please note that the City cannot accept and will not honor a generic marking of materials, such as marking everything with a document header or footer, page stamp, or a generic statement that a document is non-disclosable, exempt, confidential, proprietary, or protected. You may not exempt an entire page unless each sentence is entitled to exemption; instead, identify paragraphs or sentences that meet the RCW exemption criteria you are relying upon.

City’s Response to a Public Records Act Requests

The City will prepare two versions of your materials:

(Full Redaction): A public copy that redacts (blacks out) standard exemptions as required by the PRA and the materials or text that you identified as exempt.

(Limited Redaction): A copy that redacts (blacks out) only the standard exemptions required by the PRA, but does not redact (black out) the exemptions you identified.

The fully redacted version is made public upon contract execution and will be supplied without any notification to you.

The Limited Redaction will be released only after you have received “third party notice” that allows you the legal right under RCW 42.56.540 to bring a legal action to enjoin the release of any records you believe are not subject to disclosure.

If the original requestor wants to see the Limited Redacted or original versions, the City will provide you with “third party notice.” You will then have ten business days to obtain a temporary

restraining order while you pursue a court injunction. A judge will determine the status of your exemptions and the Public Records Act.

Requesting Disclosure of Public Records

The City asks consultants and their companies to refrain from requesting public disclosure of proposal records until an intention to award is announced. This shelters the solicitation process, particularly during evaluation and selection or if a cancellation occurs with re-solicitation. With this preference stated, the City will continue to respond to all requests for disclosure of public records as required by State Law.

11.26 Ethics Code.

Please familiarize yourself with the City Ethics code: http://www.seattle.gov/ethics/etpub/et_home.htm. Attached is a pamphlet for Consultants, Customers and Clients. Any questions should be addressed to Seattle Ethics and Elections Commission at 206-684-8500.



contractor-vendorbrochure[1].pdf

No Gifts and Gratuities.

Consultants shall not directly or indirectly offer anything (such as retainers, loans, entertainment, favors, gifts, tickets, trips, favors, bonuses, donations, special discounts, work, or meals) to any City employee, volunteer or official, if it is intended or may appear to a reasonable person to be intended to obtain or give special consideration to the Consultant. An example is giving a City employee sporting event tickets to a City employee on the evaluation team of a solicitation to which you submitted. The definition of what a “benefit” would be is broad and could include not only awarding a contract but also the administration of the contract or evaluating contract performance. The rule works both ways, as it also prohibits City employees from soliciting items from Consultants. Promotional items worth less than \$25 may be distributed by the Consultant to City employees if the Consultant uses the items as routine and standard promotions for the business.

Involvement of Current and Former City Employees.

The Consultant Questionnaire within your submittal documents prompts you to disclose any current or former City employees, official or volunteer that is working or assisting on solicitation of City business or on completion of an awarded contract. Update that information during the contract.

Contract Workers with over 1,000 Hours.

The Ethics Code applies to Consultant workers that perform over 1,000 cumulative hours on any City contract during any 12-month period. Any such employee must abide by the City Ethics Code. The Consultant is to be aware and familiar with the Ethics Code accordingly.

No Conflict of Interest.

Consultant (including officer, director, trustee, partner or employee) must not have a business interest or a close family or domestic relationship with any City official, officer or employee who was, is, or will be involved in selection, negotiation, drafting, signing, administration or evaluating Consultant performance. The City shall make sole determination as to compliance.

11.27 Background Checks and Immigrant Status.

The City has strict policies regarding the use of background checks, criminal checks and immigrant status for contract workers. The policies are incorporated into the contract and available for viewing on-line at <http://www.seattle.gov/business/WithSeattle.htm>

12. Attachments

For convenience, the following documents have been embedded in icon form within this document. To open, double click on the icons below.

Attachment #1: Insurance Requirements

- ☐ No proof of insurance is required.
☒ Proof of insurance is required, see the embedded requirements below.



CONSULTANT
CONTRACT INSURAN

Attachment #2: Consultant Contract



Agreement
8-5-13.doc

13. Reference Links

The City's Preschool for All Plan website located below includes links to Resolution 31478, information sources, prior Council committee briefings, State of Washington recommendations, and news coverage on preschool.

<http://www.seattle.gov/council/issues/PreschoolforAll/default.html>

Resolution 31478:

http://www.seattle.gov/council/issues/PreschoolforAll/2013%2008%2023%20Resn_31478%20as%20adopted.pdf